



MISSOURI DEPARTMENT OF MENTAL HEALTH

Dorn Schuffman, Department Director



DEPARTMENT
OPERATING
REGULATION
NUMBER

DOR
8.110

CHAPTER Regulatory Compliance	SUBCHAPTER HIPAA Regulations	EFFECTIVE DATE 06/01/03	NUMBER OF PAGES 3	PAGE NUMBER 1 of 3
SUBJECT Retention and Destruction of Protected Health Information		AUTHORITY Section 630.050 RSMo		HISTORY: See Below
PERSON RESPONSIBLE Deputy Director, Office of Quality Management			SUNSET DATE July 1, 2006	

PURPOSE: To ensure the availability of relevant data and information, it is the policy of the Department of Mental Health (DMH) to maintain specific retention schedules for various types of individually identifiable health information in compliance with federal and state laws and professional practice standards. The Missouri Department of Mental Health has a records disposition schedule approved by the State Records Commission. (RSMo 109.250) Microfilm is an accepted form of records maintenance and is recognized by Missouri Statute 109.120 as an acceptable medium substituting original paper documents in legal proceedings. This policy shall be consistently applied with the more stringent law followed and records destroyed after the retention period has expired.

APPLIES: The Department of Mental Health, its facilities and workforce.

PROCEDURE:

(1) Storage: All storage systems used by facilities within the Missouri Department of Mental Health shall be designed and implemented to ensure the safety, security, and integrity of consumer Protected Health Information. The storage method selected shall be dependent on the security of the area and the volume of the information stored.

(A) Paper PHI records storage must be adequate to protect the physical integrity of the record and prevent loss, destruction, and unauthorized use.

1. If the records office is shared with other departments not responsible for maintaining the records, the shelves or file cabinets must be lockable and kept locked whenever records staff is not in attendance.

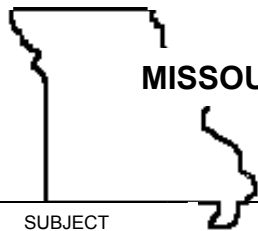
2. If PHI records are retained in a lockable office that is not shared with other staff or in a separate locked file room, open shelf filing without lockable doors is acceptable. The office or file room should always be locked when staff is not in attendance.

3. Storage area environment should not cause damage to the records and documents and meet accreditation and safety standards.

4. Off site storage should meet the above standards, be approved by the facility or Central Office Privacy Officer, as applicable, and have a signed business associates agreement.

5. A record tracking system must be in place to identify when a record has been removed, who took the record, and where it is located.

6. When a microfilmed copy of the original paper record has been produced, it may be used as a permanent record of the original. Duplicate reproductions of all microfilmed records shall be kept by the facility originating



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the paper records with suitable equipment for viewing and the original microfilm maintained off site in a fireproof vault. A log shall be maintained of all microfilmed records and cross-indexed, or otherwise linked with a common identifier, with the consumer Master Patient Index or Admission/Discharge database.

(B) Electronic: electronic storage of medical records, if applicable, should have a permanent retrievable capability, and such capability should occur even when there is a technology change.

(2) Retention. Retention of PHI records and databases shall comply with federal and state regulations; accreditation, licensure and accepted standards of practice. The more stringent between federal and state law must be followed. This DOR should be consistently applied and records destroyed after the retention period has expired.

(A) Master Patient Index: **permanent retention**

(B) Admission/Discharge Register or Database: **permanent retention**

(C) Medical Record: **permanent retention** as advised in the current Missouri DMH Records Disposition Schedule. Medical Record documents not on the schedule for permanent retention shall be kept 6 years after the month of discharge or the month the Medicare cost report is filed, whichever is later, and for minors, 3 years after the consumer reaches legal age as define by Missouri law.

(D) Consumer Financial Records: **permanent retention** per current Missouri DMH Records Disposition Schedule. These records include: consumer receipt and disbursement records, reimbursement information including but not limited to Standard Means Test, Consumer Financial File, placement files, resources files, NAFS, valuables reports. Financial documents not on the schedule for permanent retention shall be kept 6 years after the month the Medicare cost report is filed.

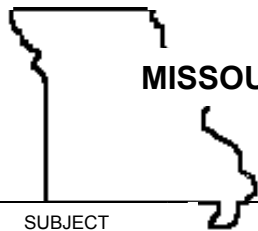
(E) Accounting of Disclosure of Information, a minimum of six years according to the HIPAA Privacy Rule.

(3) Destruction. Destruction of PHI in paper or electronic format shall be carried out in accordance with federal and state law and pursuant to the DMH Records Disposition Schedule. Records approved for destruction must be destroyed so that there is no possibility of reconstruction of information.

(A) Paper. Microfilm is an accepted form of records maintenance and is recognized by Missouri Revised Statute Section 109.120 as an acceptable medium substituting original paper documents in legal proceedings. When paper records have been microfilmed the original paper may be destroyed. If they are not destroyed, then their retention must be in accord with the procedures outlined in this DOR.

1. Because all media and reproductions typically have the same legal effect as originals, when a record meets the guideline for destruction, all copies in any medium should be destroyed.

2. Appropriate methods for destroying paper records include burning, shredding, pulping, and pulverizing.



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3. Documentation of the destruction of records should include: Date of destruction; method of destruction; description of records; inclusive date of records; statement that the records were destroyed in the normal course of business; the signatures of the individual supervising and witnessing the destruction. Destruction documents should be permanently retained. Documentation records must be maintained by the facility Privacy Officer, or the Central Office Privacy Officer, as applicable.

4. If destruction services are contracted, the contract should be a business associates agreement that specifies: the method of destruction; the time that will elapse between acquiring and destroying the records; identify safeguards against breaches in confidentiality; indemnify the facility from loss due to unauthorized disclosure; and provide proof of destruction to the facility Privacy Officer or Central Office Privacy Officer.

(B) Electronic. When electronic records or computerized data is destroyed, it should be permanently and irreversibly non-retrievable. For procedures for the destruction of computer disks, laser disks, back-up tapes, etc., please refer to the destruction requirements as set forth in DOR 8.330.

(4) Any questions as to whether information retention or destruction is permitted or required by law should be directed to the Facility HIMD Director, the Client Information Center representative, or the facility Privacy Officer or his/her designee. Electronic data destruction questions shall be directed to the Chief Security Officer or designee in OIS.

(5) There shall be no facility policies pertaining to this topic. The Department Operating Regulation shall control.

(6) SANCTIONS: Failure to comply or assure compliance with the DOR may result in disciplinary action, up to and including dismissal.

(7) REVIEW PROCESS: The Central Office Privacy Officer will collect information from the facility Privacy Officers during the month of April each year beginning in 2004 for the purpose of providing feedback to the Deputy Director, Office of Quality Management and to the Executive Team as to trends in methods of destruction and retention of PHI.

(8) Attachments: Current Missouri DMH Records Disposition Schedule

HISTORY: Emergency DOR effective January 15, 2003. Final DOR effective June 1, 2003.